



HH 03-11-02

PATENTS
112056-0020

sector
\$ \$3

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re The Application of:
Alan L. Rowe et al.

Serial No.: 10/027,013

Filed: December 21, 2001

For: SYSTEM AND METHOD FOR
ALLOCATING SPARE DISKS IN
NETWORKED STORAGE

Examiner: Not Yet Assigned

Art Unit: 2133

Cesari and McKenna, LLP
88 Black Falcon Avenue
Boston, MA 02210
March 8, 2002

EXPRESS-MAIL DEPOSIT

"Express Mail" Mailing-Label Number: EL 736451023 US

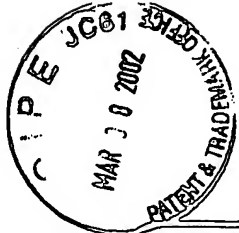
The following papers are being deposited with the United States Postal Service
"Express Mail Post Office to Addressee" service pursuant to 37 C.F.R. §1.10:

X Oath or Declaration (3 pages)
X Assignment With Recordation Form
Cover Sheet (6 pages including Cover
Sheet)

X Information Disclosure Statement
X Formalities Letter

X Fee Transmittal Letter
X Check No. 23865 for \$170

X PTO-1449 and Copies of References
X Preliminary Amendment



Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

FEE TRANSMITTAL for FY 2002

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$) 170

Complete if Known

Application Number	10/027,013
Filing Date	December 21, 2001
First Named Inventor	Alan L. Rowe et al.
Examiner Name	Not Yet Assigned
Group Art Unit	2133
Attorney Docket No.	112056-0020

METHOD OF PAYMENT

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit Account Number: 03-1237
Deposit Account Name: Cesari and McKenna, LLP

☒ Charge Any Additional Fee Required Under 37 C.F.R. §§1.16 and 1.17

☐ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
101	740 201	370		Utility filing fee	
106	330 206	165		Design filing fee	
107	510 207	255		Plant filing fee	
108	740 208	370		Reissue filing fee	
114	160 214	80		Provisional filing fee	
SUBTOTAL (1)					0

2. EXTRA CLAIM FEES

Total Claims	Independent Claims	Multiple Dependent	Extra Claims	Fee from below	Fee Paid
20**	3**		0	0	0

Large Entity Fee Code	Small Entity Fee Code	Fee (\$)	Fee (\$)	Fee Description	Fee Paid
103	18 203	9		Claims in excess of 20	
102	84 202	42		Independent claims in excess of 3	
104	280 204	140		Multiple dependent claim, if not paid	
109	84 209	42		**Reissue independent claims over original patent	
110	18 210	9		**Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					0

**or number previously paid, if greater; For Reissues, see below

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130 205	65		Fee Surcharge - late filing fee or oath	130
127	50 227	25		Surcharge - late provisional filing fee or cover sheet	
139	130 139	130		Non-English Specification	
147	2,520 147	2,520		For filing a request for ex parte reexamination	
112	920 112	920*		Requesting publication of SIR prior to Examiner action	
113	1,840 113	1,840*		Requesting publication of SIR after Examiner action	
115	110 215	55		Extension for reply within first month	
116	400 216	200		Extension for reply within second month	
117	920 217	460		Extension for reply within third month	
118	1,440 218	720		Extension for reply within fourth month	
128	1,960 128	980		Extension for reply within fifth month	
119	320 219	160		Notice of Appeal	
120	320 220	160		Filing a brief in support of an appeal	
121	280 221	140		Request for oral hearing	
138	1,510 138	1,510		Petition to institute a public use proceeding	
140	110 240	55		Petition to revive - unavoidable	
141	1,280 241	640		Petition to revive - unintentional	
142	1,280 242	640		Utility Issue fee (or reissue)	
143	460 243	230		Design Issue fee	
144	620 244	310		Plant Issue fee	
122	130 122	130		Petitions to the Commissioner	
123	50 123	50		Processing fee under 37 CFR 1.17(q)	
126	180 126	180		Submission of Information Disclosure Stmt	
581	40 581	40		Recording each patent assignment per property (times number of properties)	40
146	740 246	370		Filing a submission after final rejection (37 CFR 1.129(a))	
149	740 249	370		For each additional invention to be examined (37 CFR 1.129(b))	
179	740 279	370		Request for Continued Examination (RCE)	
169	900 169	900		Request for expedited examination of a design application	
Other fee (specify)					
Other fee (specify)					
SUBTOTAL (3)					170

*Reduced by Basic Filing Fee Paid

SUBMITTED BY

Name (Print/Type) Duane H. Dreger

Registration No. 48,836
(Attorney/Agent)

Complete (if applicable)

Telephone (617) 951-2500

Signature

Duane H. Dreger

Date March 8, 2002

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Office, U.S. Patent and Trademark Office, Washington, DC



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS
UNITED STATES PATENT AND TRADEMARK OFFICE
WASHINGTON, D.C. 20231
www.uspto.gov

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
10/027,013	12/21/2001	Alan L. Rowe	112056-0020

24267
CESARI AND MCKENNA, LLP
88 BLACK FALCON AVENUE
BOSTON, MA 02210

CONFIRMATION NO. 1131

FORMALITIES LETTER



OC000000007365978

Date Mailed: 01/25/2002

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is unsigned.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(l) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- **The balance due by applicant is \$ 130.**

A copy of this notice MUST be returned with the reply.

Fanaye A.
Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

03/14/2002 HGBREH1 00000139 10027013

01 FC:105

130.00 0P